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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/817,256	03/27/2001	Koichi Nihira	1614.1156	7685

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WASHINGTON, DC 20005

EXAMINER
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JARRETT, SCOTT L

ART UNIT	PAPER NUMBER
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3623

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	12/19/2006	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

**Office Action Summary**

Application No.

09/817,256

Applicant(s)

NIHIRA, KOICHI

Examiner

Scott L. Jarrett

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
  - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
  - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 13 November 2006.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1 and 3-12 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1 and 3-12 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

### **DETAILED ACTION**

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on November 13, 2006 has been entered.

Applicant's amendment amended claims 1 and 3-12. Currently claims 1 and 3-12 are pending.

### ***Response to Amendment***

2. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action.

### ***Response to Arguments***

3. Applicant's arguments with respect to claims 1 and 3-12 have been considered but are moot in view of the new ground(s) of rejection.

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1 and 3-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gill et al., U.S. Patent No 5,984,178 in view of Vijayan, Geetha, U.S. Patent No. 6,832,341 and further in view of Feridun et al., U.S. Patent No. 6,336,139.

Regarding Claims 1 and 10-12 Gill et al. teach a method and system for collectively managing management information about a plurality of customer service devices (ATM, automated teller machines, banking machines), and managing the operations of the plurality of customer service devices (Abstract; Column 3, Lines 48-68; Column 4, Lines 1-55; Column 5, Lines 1-54; Column 8, Lines 33-42; Column 25, Lines 5-68; Figures 14, 19, 31, 32 and 56 and as shown below in Figures 1, 4, 7, 8 and 29).

More specifically Gill et al. teach that the management system comprises:

- registering (entering, inputting, setting up, installing, making available) a plurality of management information in a data store/database (Figure 4, Element 36; Figures 46-59);

- creating (entering, inputting, etc.) a plurality of actions (events) to operate each of the customer service devices, based on (by processing, reviewing, accessing, analyzing, etc.) the plurality of management information entered;

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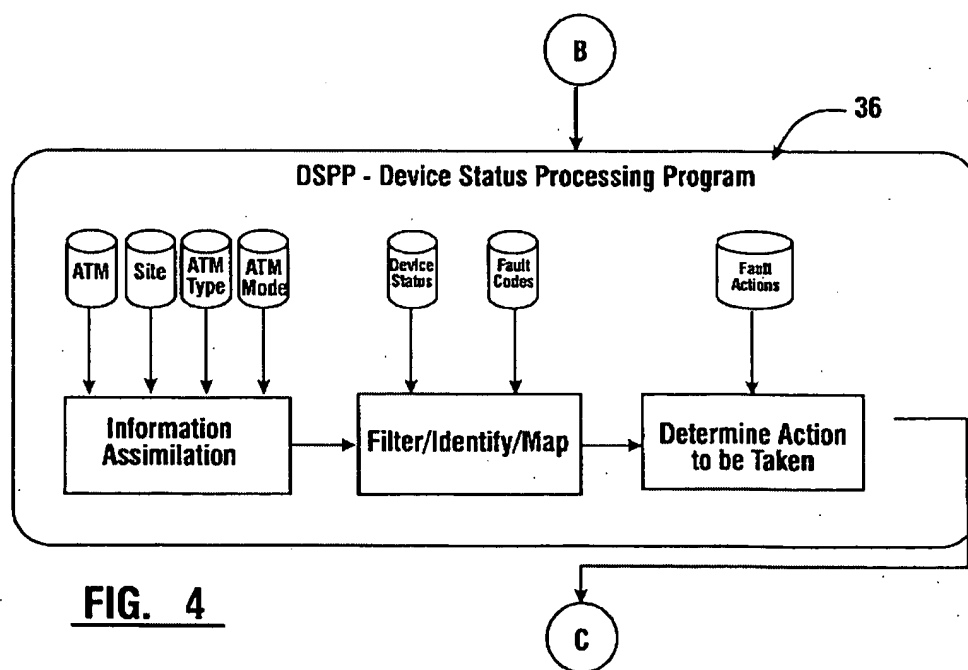
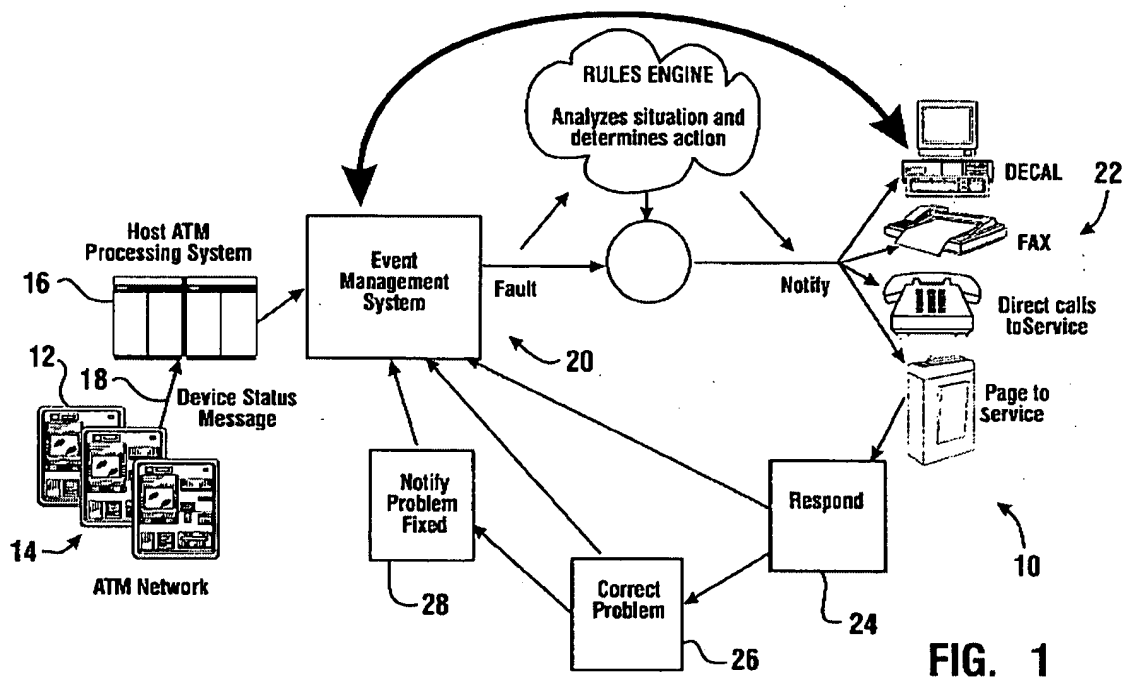
- registering (entering, inputting, setting up) a plurality of actions (procedures, action list, schedule, fault actions);
- selecting (determining, resolving, analyzing) an action by referring (reviewing, accessing, etc.) the action data (database, data store) and in accordance with supplied/received, via a network, condition information (status message, condition message, status, solicited message, unsolicited message) from each of the customer service devices (Column 11, Lines 62-68; Column 12, Lines 25-44); and
- transmitting/sending an instruction (message, notification, etc.) indicative of the action (corrective action, action list, fault action) with respect to each customer service device (Column 25, Lines 54-65; Figures 31-32)
- wherein the management information includes a plurality of information related to consumer devices, consumer device groups, assignees of management (servicers, vendors, message recipients, contacts), actions, events, schedules and a plurality of other information associated with the operation of the customer service devices (Column 4, Lines 1-55; Column 15, Lines 35-68; Column 16, Lines 1-60; Column 24, Lines 55-68; Figures 11-14, 16, 17 and 46-59; Figures 7 and 8).

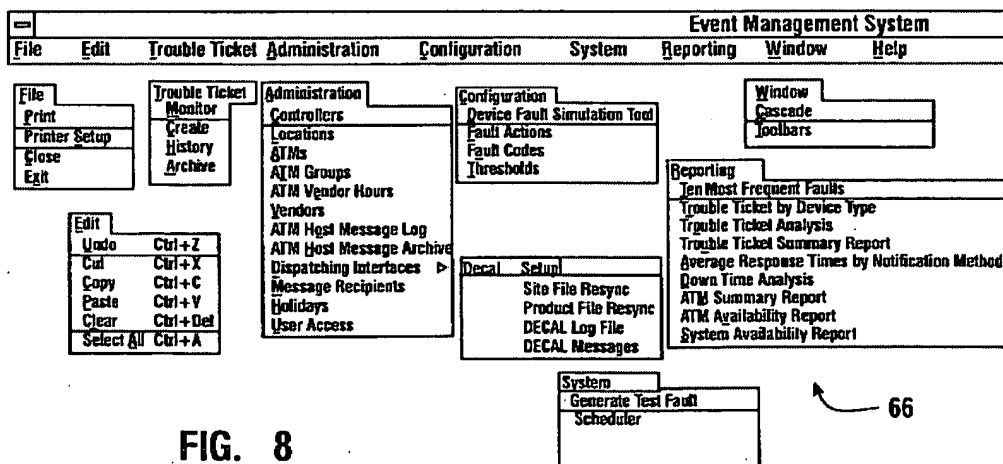
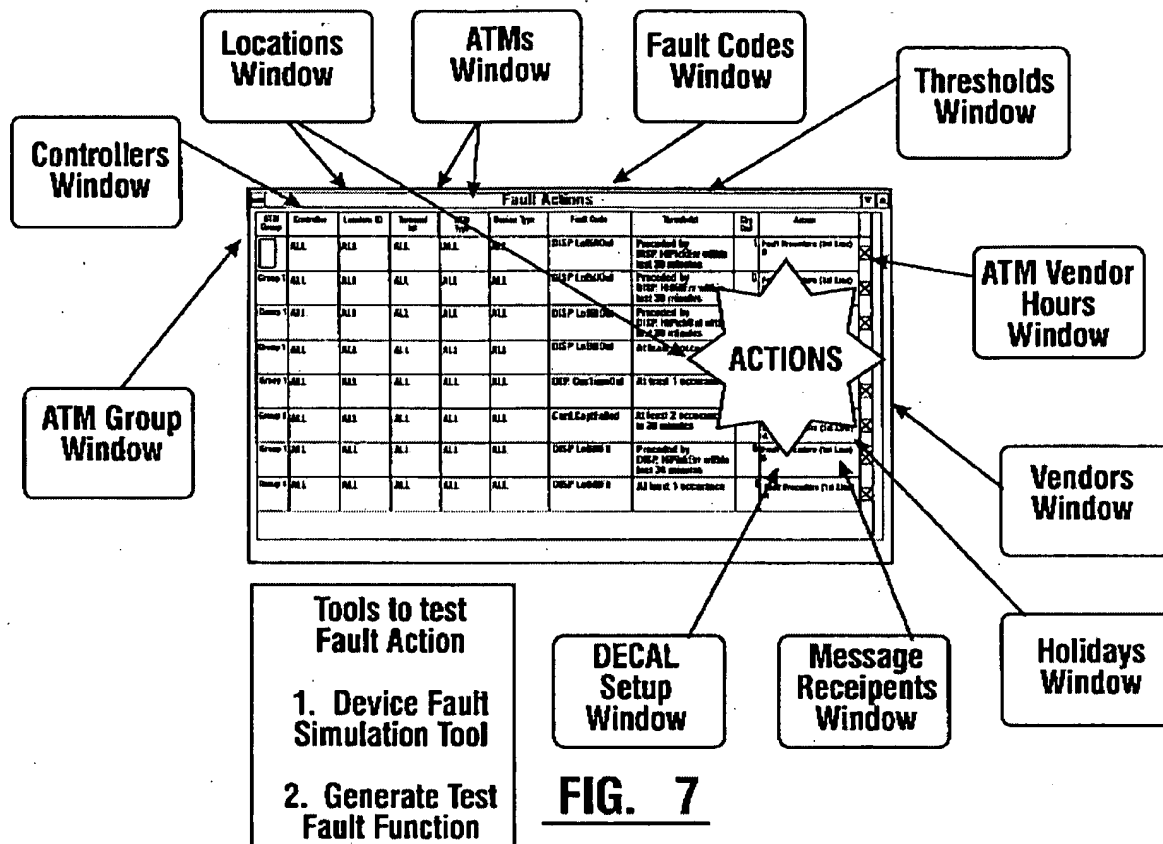
Gill et al. further teach that the system and method for collection managing a plurality of consumer devices analyzes a plurality of management information to determine what action (steps) to take wherein the management information includes but is not limited to: consumer device information (location, ID, etc.), customer/operator information (e.g. hours of operation, etc.) and vendor/servicer information (i.e. vendors inherently being outsourced/external service providers that operate under some form of

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*contract* (written, oral/verbal, agreement, formal, informal, promise, commitment, etc.) and *contracts* inherently include at least information regarding the parties/entities of the contract such as contact information - e.g. who to contact when a specific event occurs on a specific consumer device and by what means as in the case in Gill et al.; Column 3, Lines 1-11; Column 5, Lines 1-10; Column 24, Lines 37-48; Figure 14).

Gill et al. teach that the management system comprises a plurality of systems (sub-systems, modules, applications, devices, etc.) including but not limited to (Figure 1; Figure 2): Automated Teller Machines, ATM Network, Host ATM processing, Event Management System, Rules Engine, Scheduler, Multi Media Reporter (MMR), Message Gateway Router (MGR) and Device Status Processing Program (DSPP) that enable the administration, maintenance and management of customer service devices.





**FIG. 8**



Fault Actions									
ATM Group	Controller	Location ID	Terminal ID	ATM Type	Device Type	Fault Code	Thresholds	Chk Ord	Action
Group 1	ALL	ALL	ALL	ALL	ALL	DISP:LoBillOut	Preceded by DISP:HPickErr within last 30 minutes	1	Fault Procedure (1st Line) B
Group 1	ALL	ALL	ALL	ALL	ALL	DISP:LoBillOut	Preceded by DISP:HBilFit within last 30 minutes	1	Fault Procedure (1st Line) B
Group 1	ALL	ALL	ALL	ALL	ALL	DISP:LoBillOut	Preceded by: DISP:HBilOut within last 30 minutes	2	Fault Procedure (1st Line) B
Group 1	ALL	ALL	ALL	ALL	ALL	DISP:LoBillOut	At least 1 occurrence	3	Fault Procedure (1st Line) A
Group 1	ALL	ALL	ALL	ALL	ALL	DEP:CasTimeOut	At least 1 occurrence	4	Fault Procedure (1st Line) A
Group 1	ALL	ALL	ALL	ALL	ALL	CARD:CaplFailed	At least 2 occurrences in the last 30 minutes	5	Fault Procedure (1st Line) A
Group 1	ALL	ALL	ALL	ALL	ALL	DISP:LoBillFit	Preceded by: DISP:HPickErr within last 30 minutes	6	Fault Procedure (1st Line) B
Group 1	ALL	ALL	ALL	ALL	ALL	DISP:LoBillFit	At least 1 occurrence	7	Fault Procedure (1st Line) A

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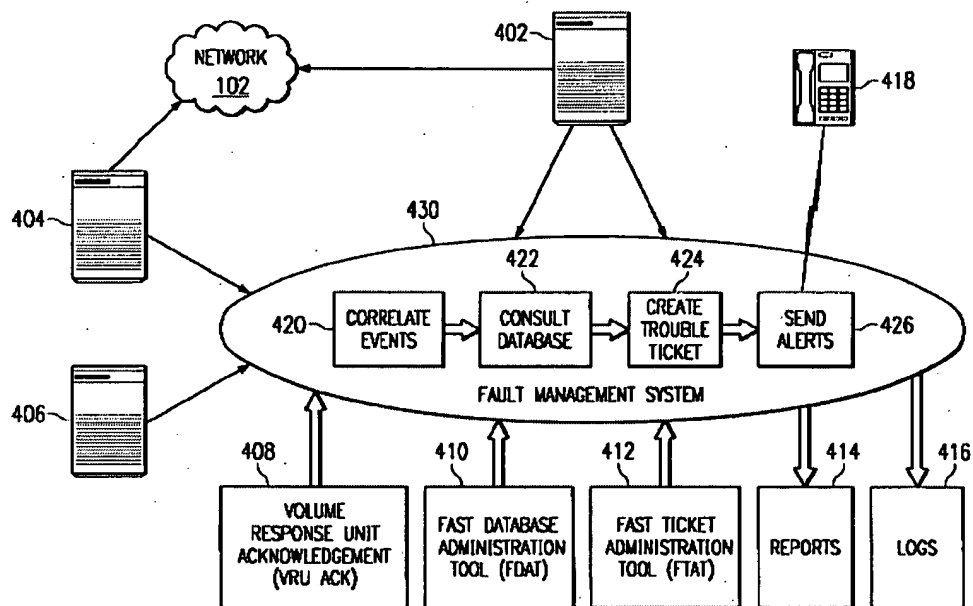
**FIG. 29**

Gill et al. does not expressly teach checking and detecting inconsistency if an event corresponding to the condition of each consumer device does not match registered event management information or adding an altering instruction to action that should be performed when inconsistency is detected as claimed.

Vijayan teaches checking and detecting inconsistency if an event corresponding to the condition of each consumer device does not match registered event management information (checking/determining the validity of the event, host and fault monitoring point; Column 1, Lines 47-63; Column 6, Lines, 63-68; Column 7, Lines 1-25; Figure 5, Element 504) *and* adding an alerting instruction to action that should be performed when inconsistency is detected (Column 5, Lines 1-40; Column 6, Lines 47-67; Column

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7, Lines 1-20; Column 9, Lines 29-59; Figure 4, Element 430) in an analogous art of device fault/event management for the purposes of determining how the fault/event is escalated/forwarded (Column 8, 28-42; Figure 5) and/or enable the system to monitor events/devices not previously defined in the system using default policies/rules (Column 9, Lines 50-59).



FMP USAGE IN ALERT MANAGEMENT PROCESS

**FIG. 4**

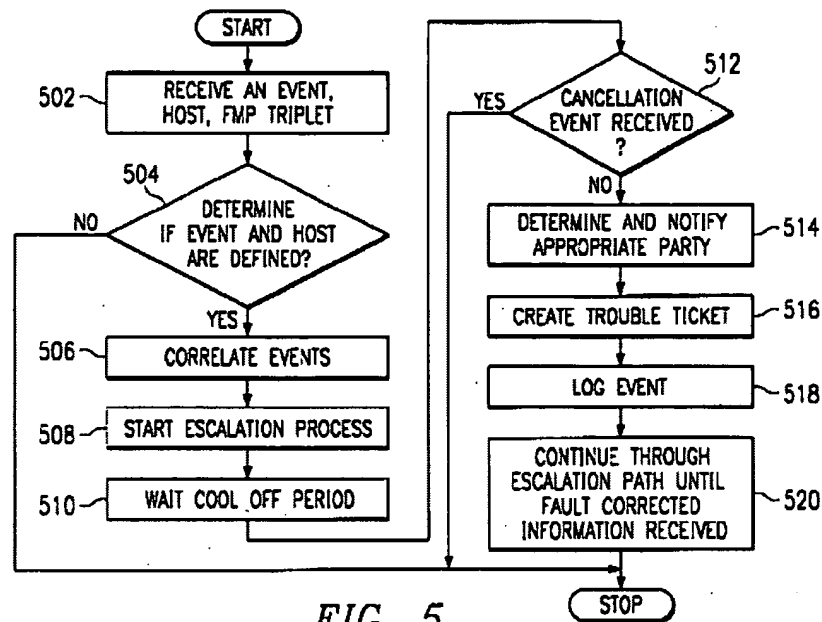


FIG. 5

It would have been obvious to one skilled in the art at the time of the invention that the system and method for collectively managing management information about a plurality of consumer devices and managing the operations of the consumer devices as taught by Gill et al. would have benefited from checking and detecting inconsistency if an event corresponding to the condition of each consumer device does not match registered event management information in view of the teachings of Vijayan; the resultant system/method enabling the system/method to more accurately log/record unique events (Vijayan: Column 9, Lines 29-42) and/or enable the system to monitor events/devices not previously defined in the system using default policies/rules (Vijayan: Column 9, Lines 50-59).

Neither Gill et al. nor Vijayan expressly teach checking if there is an inconsistency *in an event order* as claimed.

Feridun et al. teach checking if there is an inconsistency in an event order (e.g. out-of-order, not in the proper sequence, etc.; "pass through rule", "reset rules"; Column 3, Lines 2-12; Column 9, Lines 25-55) in an analogous art of monitoring and managing a plurality of network devices for the purposes of selecting and taking the appropriate action based on the correlation of monitored event information and a plurality of correlation rules (Column 2, Lines 46-68; Column 3, Lines 1-20).

It would have been obvious to one skilled in the art at the time of the invention that the customer service device management system and method as taught by the combination of Gill et al. and Vijayan would have benefited from checking if there is an inconsistency in an event order in view of the teachings of Feridun et al.; the resultant system and method enabling the selection and activation of an appropriate action based on the correlation of monitored event information and a plurality of correlation rules, including but not limited to rules that are triggered by the occurrence or non-occurrence of a sequence of events (Feridun et al.: Column 2, Lines 46-68; Column 3, Lines 1-20).

Regarding Claims 3 and 4 Gill et al. teach that the management system further comprises creating (entering, inputting) and registering (making available to the system, associating) the action(s) corresponding to each condition for each customer device (action procedure connected to fault actions, action list, action procedure, action

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message, Device Status Processing Program; Column 11, Lines 50-68; Column 25, Lines 5-62; Figures 28, 29 and 31; Figures 1, 4 and 8).

Regarding Claim 5 Gill et al. teach that the management system further comprises (trouble tickets, responses, actions, action procedures; Column 12, Lines 33-44; Column 25, Lines 5-60; Column 37, Lines 16-60; Column 34, Lines 1-15; Column 36, Lines 53-68; Figures 26 and 31-32; Figures 4, 7 and 8):

- selecting a customer service device corresponding to the supplied condition (status, fault, solicited message, unsolicited message, etc.) from among a plurality of customer service devices; and
- selecting (responding) the action corresponding to the supplied condition information among a plurality of actions registered for the customer service device.

Regarding Claim 6 Gill et al. teach that the management system further comprises (Column 12, Lines 33-44; Column 25, Lines 5-60; Column 37, Lines 16-60; Column 34, Lines 1-15; Column 36, Lines 53-68; Figures 26 and 31-32; Figure 4):

- receiving and judging (reviewing, filter/identify/map, deciding, determining) a plurality of types of condition information (fault codes, fault category, fault condition, fault signals, fault message) in their entirety; and
- selecting the action corresponding to the judging (filter/identify/map) from among a plurality of actions registered (available) in the system.

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Regarding Claim 7 Gill et al. teach that the management system further comprises (Column 12, Lines 33-44; Column 31, Lines 1-60; Column 34, Lines 1-15; Column 36, Lines 53-68; Figures 18, 23, 25, 26 and 36):

- registering (storing, saving, logging, collecting) a plurality of information, historical and current, regarding the condition information (faults, messages, calls, trouble tickets, actions, etc.) for customer service devices; and
- selecting the action corresponding to the plurality of condition information, historical and current available (registered in the system).

Regarding Claim 8 Gill et al. teach that the management system further comprises (Abstract; Column 5, Lines 10-54; Column 9, Lines 60-68; Figures 19 and 24-26):

- instructing (requesting, requiring, contacting) a maintainer (servicer) of the plurality of customer service devices to perform a maintenance (service) operation according to the condition information; and
- receiving information about a results of the maintenance (service) operation from the maintainer (servicer).

Regarding Claim 9 Gill et al. teach that the management system enables a plurality of users (entities) to receive, send, enter, maintain and the like a plurality of information related to the operation of customer service devices. More specifically Gill et al. teach that an administrator and a maintainer (servicer, vendor) supply information

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to the management system (Abstract; Column 29, Lines 45-68; Column 31, Lines 45-55).

***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- Berg, Myron, U.S. Patent No. 5,872,911, teaches a system and method for collectively managing a plurality of consumer service devices over a network comprising historical data, equipment alarms and checking for inconsistencies (e.g. event/alarm order) in event orders and generating alerts when an event inconsistency is identified.

- Johnson, R. Brent, U.S. Patent No. 6,275,855, teaches a system and method for collecting managing the operations of a plurality of devices wherein monitored events trigger correction actions.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Scott L. Jarrett whose telephone number is (571) 272-7033. The examiner can normally be reached on Monday-Friday, 8:00AM - 5:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hafiz Tariq can be reached on (571) 272-6729. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.




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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



SJ

12/12/2006



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